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DEPUTY FOR PLANS AND CONTROL

1. There are grouped under this deputy all of the basic functions having to do with position management in CIA. These include the definition of individual jobs and of the staffing structures of operating components, the maintenance of the Agency records of positions and employee assignments, and, finally, the production of the varied rosters and statistical data on which supervisors and planners base their daily decisions in personnel administration. Also attached here for reasons of historical accident are a Plans Staff and a Review Staff. Each is very small and concerned for the most part with studies levied upon the Office of Personnel from above.

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2. Plans and Control has a T/O of [REDACTED]. There are [REDACTED] positions in the Office of the Deputy, [REDACTED] in Plans Staff, [REDACTED] in Review Staff, [REDACTED] in Position Management and Compensation Division, and [REDACTED] in Control Division. The latter is made up of three branches of approximately equal size handling (1) qualifications analysis, (2) statistical reporting, and (3) transactions and records.

The Plans and Review Staffs

3. The Plans Staff had been preoccupied for the past year with a study of the professional manpower situation--GS-12 and above--

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facing the Agency in the 1970s. This culminated at the end of the year in a series of briefings of Agency senior management and of the managers of career services on projected retirement and other attrition rates and their possible impact on promotion opportunities for younger employees. The career services were being asked in turn during early 1971 to translate these general findings into projections of promotion potential for each of their employees and to plan appropriate adjustments in their recruitment and career management policies. Other recent Plans Staff assignments have included attitude surveys among summer employees and other categories of young professionals, evaluation of SIPS automation proposals for OP, and detailed studies of employee resignation patterns. In its FY 73-77 program call the Staff was being oriented toward study of long-range functional, organizational, and technological change facing the Agency and the implications in such change for its management of its personnel.

4. Keeping the Agency's personnel regulations up to date has been the principal responsibility of the Review Staff. During the next few years the Staff proposes to perform studies of Agency personnel policies and processes with emphasis on the evaluation of their current effectiveness in comparison with their original objectives. The Plans Staff, by contrast, will focus on the long-range future. It appeared to us that the delineation of the work of the two staffs would prove to be a pretty

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fuzzy affair, and that project assignment rather than specialization in particular fields of personnel administration will characterize the use of the two staffs.

5. When and how will these staffs produce their major impact in the future? Certainly not in day-to-day conduct of business. Any question from a senior manager of the Agency concerning such matters as retirement, contracting, or insurance will inevitably be directed to the specialist, and, similarly, incipient problems in any given field are going to be recognized and analyzed first at the grass roots level of day-to-day operations, seldom by a Plans Staff.

6. The facts of specialization, however, do not preclude the presence of problems of system design throughout the OP components, not prevent collaboration among components on problems that require a variety of skills for solution. We were impressed, for example, with the accomplishments and the quality of the expertise in personnel administration matters that had been amassed among the SP careerists on the SIPS staff. After the SIPS plan becomes operational, this expertise should be returned to the Office of Personnel to work on evolving operational problems. We also noted during the inspection the existence in many OP shops of problems concerning forms, files, work flow, and the acquisition of office equipment. The Office of Personnel should maintain some centralized expertise in these fields, if only to ensure that lively contact is maintained with the many

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other parts of the Agency where useful knowledge and experience are being acquired.

7. Turning to Agency-wide personnel planning needs, it seemed to us that the Director of Personnel and his Plans Staff needed to establish and maintain a livelier contact with the managers of operating components concerning their planning needs and interests in the field of personnel administration. Out of such contacts should come more collaboration and joint experimentation on interface problems. Among such problems we would cite, for example, analyzing the roles and increasing the effectiveness of personnel officers, evolving better techniques in employee counselling by line managers and personnel officers, and studies of the quality of employee performance in relation to predictive tests and placement policy. We have previously noted that the Director of Personnel does not pursue an aggressive policy of comparing, publicizing, and proposing standards for the fundamental processes of career management, common to all of the Agency's career services.

8. We have not proposed increased police powers for the Director of Personnel over the Agency's career services because we agree that the operating managements with their intimate knowledge of quality of performance of individual employees must have final say in assignment and promotion decisions. We do believe, however, that CIA's career

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service management policy should be more open and visible to its employees and that the Director of Personnel and his Plans Staff are the logical instruments for promoting and coordinating the necessary studies and programs.

9. In sum, the Director of Personnel needs in his own office a better defined and more versatile capability to deal with a wide range of questions. Internally, these have to do with system, method, equipment, and forthcoming articulation with SIPS automation. Externally, they center on innovative relationship with the operating components and career service managements of the Agency. These objectives can be best served through a Planning and Systems Staff consolidating the capabilities of the three existing components-- Plans Staff, Review Staff, SIPS Systems Staff (personnel)--and adding new skills relating to equipment and work methods. The new staff should use small task forces that draw on appropriate skills from operating components. Project objectives should be explicit and limited. Deadlines should be short. There should be rotation of personnel on a two to four year schedule for most staff positions. The size of the staff should be held to about the present level of [REDACTED] people.

Recommendation No. 13

That the Director of Personnel assemble his Plans and Review Staffs and his SIPS systems personnel, when available, into a consolidated Planning and Systems Staff attached to his immediate office.

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Control Division

10. The Control Division has a Statistical Reporting Branch, a Transactions and Records Branch, and a Qualifications Analysis Branch. Geographically, this division has been one of the continuing victims of decentralization. In February 1971 the division, less Transactions and Records Branch, was moved once more, this time to [REDACTED]

11. The division has been used as an area for placing problem employees. The nature of the work is mundane and repetitious; imagination and initiative are not required. Yet the service performed by the division is important. It provides the statistical reporting which supports the control mechanisms of the Agency. It also operates the File Room and associated sections, which permit ready access to basic data on employees.

12. The Qualifications Analysis Branch is charged with two main functions. One is to make and then update the biographical profile for each employee. The second function is to code the qualifications of each employee for machine retrieval. The Biographical Profile Section is completely staffed by female staff employees and supplemented by two contract employees. They extract information from personnel files. Most of the employees seem contented, although there is some evidence of restiveness relative to the supervisor. Generally,

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however, there is an atmosphere of just getting the job done. Recently, the career management office has deliberately sought to introduce young employees into this section.

13. The Qualification Coding Section consists of two staff employees whose work is supplemented by five retired annuitants on contract. The task is to convert the qualifications expressed verbally on a form into a code which can be used in machine searches for particular skills. All career services are provided on a regular basis with machine listings showing the academic degrees and language skills recorded for their career employees. The Clandestine Service codes the skills of its employees independently. The other directorates of the Agency request machine-assisted skill searches at the rate of about 60 per year. (u) (c)

Transactions and Records Branch

14. The office of the Chief, Transactions and Records Branch, is occupied by three individuals: the branch chief, deputy branch chief, and secretary. This front office is a working office in the sense that each individual has projects which are not related to the supervisory role. The office of the Chief, TRB, is used extensively by the Director of Personnel to provide various studies on specialized categories of personnel.

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15. The job of the branch chief is a challenging one which provides an opportunity for a young officer to test himself in a variety of management situations. The current incumbent has been on the job for about three years. This is probably too long for an individual to stay in this job. While there are educational aspects, the aggressive individual will soon have reached the limits of experience that he can gain on the job. From that point on, the routine nature of the task tends to cause a deterioration of performance and may stultify the growth of the young officer. It is suggested that a rotational cycle of about two years is suitable for this position. Such a time frame should serve to enhance the individual and assure a fresh outlook on the functions of the job.

16. The File Room is adequately described by its title. It is a large open space filled with the Official Personnel Files of the staff employees of the Agency. It is a beehive of activity with a constant movement of files to other elements of the Agency and daily recourse to the files for the purpose of adding material. It is ironic that when a file is retired to the Records Center it must be carefully screened in order to ensure that only necessary material is transported. Certainly, it would seem appropriate and logical to do this screening at the time that the material is placed in the file. A predetermination of essential records should be made and should take into account the

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ultimate need for Records Center disposal.

17. The File Room is staffed with women. The supervisory slots are filled by two long-time employees. There is no opportunity for promotion for the lower levels. Employees transfer from the File Room as soon as they feel they have served an appropriate stint. This turn-over serves a good purpose. The File Room serves as a point of entry for clerical personnel, who learn a great deal about the mechanics of the operation of the office. They move on before they become disenchanted or dissatisfied. The morale of the File Room is surprisingly good. It may be attributed to the type of supervision, the fresh ideas, and the youth of the majority of the members.

18. The Official Personnel Files represent the legal documentation of an individual's career with the Agency. They are important and sensitive documents. We found to our surprise that the files are only superficially controlled. The single control within the Central File Room is a card system which identifies the Office which has requested a file. When the Central File Room forwards files to a requester, it does not advise which files have been forwarded. The requester does not notify which files have been received and are in its possession. Subsequent transfers of the file to other offices may or may not be reported to the Central File Room. Thus, the only assured control mechanism is the card identifying requester. There is no certain way to ascertain if files are lost en route. In consequence, it has not

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been unusual for files to remain unlocated for weeks or months at a time.

19. In our discussion of the need for a Systems Staff, we discuss the need for a general analysis of the manner in which the Office of Personnel handles its paper information. There is a definite need for a systematic approach to all aspects of files under the cognizance of the office. The priority area of concern, we believe, is the Official Personnel Files.

Recommendation No. 14

That the Director of Personnel initiate prompt action to ensure positive and continuous control and location of all Official Personnel Files. This should include scheduled physical inventory of files to verify location and control records.

Statistical Reporting Branch

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20. The Statistical Reporting Branch (SRB) with a T/O of [REDACTED] is the keeper of numerical data concerning Agency employees. The data itself derives for the most part from the personnel action records generated by operating components and is maintained physically in the magnetic tape library of the Office of Computer Services. SRB orders and distributes throughout the Agency a substantial volume of standard or scheduled and regularly updated reports--more than 100 series in more than 600 arrangements--which OCS produces monthly or on other agreed frequencies. In addition, SRB services numerous ad hoc requests

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for one-time machine-produced data listings to support special studies. The branch has developed real expertise in drafting the requests to the computer operators for these listings.

21. The branch lies squarely in the path of the DDS Support Information Processing System (SIPS), and its major subdevelopment known as the Manpower Control System. Present-day reporting services are scheduled to transfer to SIPS data management centers during the latter half of 1972. The users of such present-day statistical reports as the Position Control Register, the monthly separation report, or the fitness reporting schedule may initially detect little change in the product under SIPS aegis. The SIPS objectives rather have been concerned with rationalizing data input and internal computer operations as the means of changing consumer habits. Duplicative input of data will be reduced to an absolute minimum throughout the Office of Personnel. Given more efficient, versatile computer equipment and programs the user should see a dramatic speedup in service. Given reliability of access he should become willing to dispense with today's large, slow, and expensive flow of standard reports and learn to ask the computer only for what he needs at the time he needs it. The SIPS data management centers will require staff well trained in data retrieval procedures, and SRB staff are logical candidates for such assignments given some upgrading in staff skills. We think that planning for the reassignment and the retraining of SRB personnel ought to get under

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way in 1971.

22. The SIPS Staff has performed exhaustive review and revision of the SRB standard reports with the following results to date:

Reports deleted	191
Reports revised	108
Reports unchanged	35
Reports added	85

There are a good many reports dealing for example with qualifications inventory, career trainees, and the CIA Retirement and Disability System that remain to be studied. Reexamination of the validity of products is often cited as one of the principal sources of benefit from automation projects. We think that the SIPS analysts have indeed made an excellent contribution to the management and future content of statistics in the Office of Personnel. We did not inspect the SIPS project itself and indeed considered that it would be inadvisable to do so during the next 18 months in view of the complexity of the hardware and software developments now under way. Similarly, we have not proposed major changes in existing SRB operations when these are due to change so drastically in the near future. We do recommend that SRB, backed by the Director of Personnel, appeal to operating components to reduce their requirements for standard reporting to an absolute minimum during the next 18 months in order to free SRB personnel for conversion preparations. Frequency of

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reporting should be reduced, e.g., from monthly to quarterly during the conversion period. SRB maintains a master library of current reports, and requesting components should be asked to cancel their existing requirements wherever possible and to use the reports in the SRB library or to make Xerox copies of them at their own expense.

Position Management and Compensation Division

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23. The Position Management and Compensation Division (PMCD) has a T/O of [REDACTED]. The division is made up of two branches, Intelligence & Support, and Scientific & Clandestine Service.

24. The division is charged with responsibilities under the following regulations:

"The Agency will conduct a continuing program of manpower resources management which will assure maximum efficiency and economy in the use of manpower consistent with the Agency's assigned missions and responsibilities" (HR [REDACTED] and,

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"In setting up occupational categories and pay levels for Agency positions it is Agency policy to follow the concepts and principles of the Classification Act of 1949, as amended, as a means for establishing effective internal position alignment, maintaining reasonable comparability with other Government agencies, and simplifying adjustments to conform to Federal salary changes and employment benefits. Overall objectives are to maintain an Agency staffing pattern which will attract and retain highly qualified and competent employees and which will reflect the characteristics of Agency employment, and to provide an effective means of controlling expenditures for personal services" (HR [REDACTED]).

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25. The organization and control of manpower is of course one of the most basic of management responsibilities. The Agency operates under a staff manpower ceiling as established by the Congress and the Office of Management and Budget. Each component in the Agency is assigned a staffing complement which identifies the positions to which personnel will be assigned to carry out its assigned missions and functions. Additionally, each career service is assigned a Career Service Grade Authorization which controls the maximum number of personnel authorized at each General Schedule grade level. These organizational and manpower controls are built on the basic framework of the Table of Organization (T/O).

26. The T/O of the Agency and the staff manpower ceiling theoretically should be the same numerical figure. In practice this seldom occurs, but there is a continuing effort toward that goal. The T/O reflects not only numbers, but also position classifications (job titles) and GS grade levels. All three are vital in controlling manpower utilization.

27. Two items of the T/O, numbers of positions and associated grades, form the framework against which personnel resources are funded. Both require accurate and up-to-date job descriptions to be realistic figures. To the extent that either is badly out of date, higher management levels are deprived of a valuable source of information on the state of the Agency.

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28. On a day-to-day basis, the Office of Personnel is involved in authenticating and issuing staffing complements and revisions, assuring that components adhere to ceiling restrictions, monitoring entrance on duty and transfers of personnel, approving temporary overstrength situations, evaluating proposals to establish or change the number of supergrade and SPS positions, developing and authenticating the career service grade average, and assuring compliance by the components. In performing these tasks it works closely with PPB and the Executive Director-Comptroller. The thrust of these functions is one of liaison and monitoring. However, in the area of position evaluation the Office of Personnel is solely responsible. It is required to assure top management that the positions in the component's staffing complements are accurately evaluated as to occupational category, position description, and pay level. We find a serious short-fall in this specifically assigned function in the Office of Personnel.

29. The Position Management and Compensation Division's primary assignment is position evaluation. The record shows that a disturbing proportion of the Agency is not covered with currently adequate position evaluations. While the record for individual positions evaluated is fairly impressive [REDACTED] classified 25X9A2 in FY-70), the number of components surveyed is not.

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Position Surveys by Components

	<u>Number of Components</u>	<u>Maintenance Rate (yrs.)</u>	<u>Maximum Spread (yrs.)</u>	<u>% of Position Descriptions Completed</u>
DCI	5	8.2	3-15	75
DDS	10	7.4	0-14	80.5
DDP	14	3.9	1-10*	50
DDI	10	8.9	1-16	80
DD/S&T	8	3.6	0-10	31.25
Agency	47	6.1	0-16*	63.35

As can readily be seen the average component survey is being performed on something like a six-year rather than a three-year cycle, which we believe to be desirable. Coverage is erratic with ten components lacking a survey within the past ten years. Approximately one-third of the total positions in the Agency lack a position description. These records reflect a passive reaction on the part of the Office of Personnel to an assigned responsibility. The office has permitted the manpower resources of PMCD to shrink to the point where the division devotes only 34 percent (FY-70) of its manhours to position surveys and individual actions. The rest of the time is spent in reviewing

*Two components have never been surveyed.

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staffing complements, reacting to grade change requests, preparing planning papers, and making pay adjustments. These latter assignments acquire priority and component position evaluations receive only minimal attention. This situation has been permitted to develop over the past 6-8 years as the division has come to operate on a "brush-fire" approach. The line components that make the most urgent requests for reorganization or position reclassification receive the attention of the all-too-limited resources.

30. The utility of component surveys, in contrast to spot or individual position surveys, is that only through this approach can a meaningful audit be made of the total manpower utilization within a component. A thorough and comprehensive component audit assures management of (1) the proper mix between professionals and clericals, (2) accurate descriptions of each position and occupational category with unique insight into workload and productivity aspects, (3) proper designation of limited and flexible positions relationship, and (4) the correct General Services grade level for each position.

31. In our survey we found PMCD ill-equipped in relation to its total assigned responsibilities. In recent years, the division has lost some of its initiative and has assumed a somewhat passive attitude toward accomplishing its total mission. At the same time we acknowledge the devotion and hard work of the individual members of the division. The Agency uses more than 750 occupational categories and

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has its full share of complex staffing patterns. These employees have devoted their best talents to maintaining accurate job descriptions, average grade ceilings, and proper pay levels. Their technical skills are not questioned.

32. The present situation calls for positive action on the part of the Office of Personnel. From a high point of over [REDACTED] positions in the late 1950s, the division has been curtailed to its present T/O of [REDACTED]

We believe it to be seriously understaffed. The Deputy for Plans and Control estimates that a staff of [REDACTED] persons is required to adequately perform the total assigned responsibilities. The T/O of the division should be increased to the point where it can carry on its monitoring responsibilities and conduct detailed component position surveys on the three-year schedule.

33. A careful evaluation of the personnel assignments in the division is also in order. Many of the present incumbents are approaching retirement in the next several years. Although CTs have moved in and out of the division, the main staff of professional classifiers has remained static. An organized rotation plan for senior classifiers has been lacking and should be instituted. A review at this time should develop a rotational plan (6-8 years) and schedule the introduction of new blood at all levels in the division. Pending retirements coupled with a slight expansion of the T/O should permit these objectives to be accomplished.

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Recommendation No. 15

That the Office of Personnel:

- a. Review the manpower resources needed by PMCD to carry out its full mission and responsibility and adjust the T/O of PMCD accordingly,
- b. Develop a rotational plan for professional position classifiers, and
- c. Assign well qualified young personnel officers to the division.

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